



# United States Department of the Interior

OFFICE OF THE SECRETARY

Washington, D.C. 20240

October 6, 1994

PERSONNEL MANAGEMENT LETTER NO. 94 -23 (920)

SUBJECT: Performance Appraisal For Senior Executives

The following changes align the Department's SES performance appraisal program with the strategic goals of the Secretary, Assistant Secretaries, and Bureau Directors, as well as streamline the program so it is less paper-intensive and has fewer mandatory levels of review. As appropriate, these changes will be incorporated into 370 DM 920 when the chapter is revised.

## A. PERFORMANCE AGREEMENTS

- 1.a. Performance elements contained in individual SES performance agreements will be cascaded from performance agreements established among the Secretary, Assistant Secretaries and Bureau Directors.
- b. SES performance agreements will embody the Secretary's initiatives, priorities, and values, including Workforce Diversity, Cross-Bureau Cooperation, and Employee Empowerment.
2. Bureau Directors, with the concurrence of the cognizant Assistant Secretary, will define the "Fully Successful" performance standard for any performance elements mandated Departmentwide by the Secretary.
3. Assistant Secretaries/Bureau Directors have authority to mandate additional performance elements for SES members within their organizations. These performance elements will be negotiated annually between Bureau Directors or first line supervisors and SES members.
4. There is no maximum number of performance elements within individual SES performance agreements. The Department may, however, provide annual guidance on the construction of effective and practical performance agreements.

## B. PERFORMANCE RATINGS

1. There will be three summary rating levels:

PASS (Fully Successful) - On an overall basis, total performance fully met expectations.

PROVISIONAL (Minimally Successful) - On an overall basis, total performance marginally met performance expectations.

FAIL (Unsuccessful) - On an overall basis, performance expectations were not met.

- 2 A second-level review of the supervisor's performance rating and recognition recommendations is optional, used only when requested by the SES member being rated.
- 3 No documentation of performance is required if the supervisor's recommendation is for a summary rating of PASS. Adequate and appropriate documentation should be required if the summary rating recommendation is PROVISIONAL or FAIL.
- 4 Authority to determine the final summary rating of record remains with the Assistant Secretary or equivalent official, who may choose to delegate the decision to the Bureau Directors.

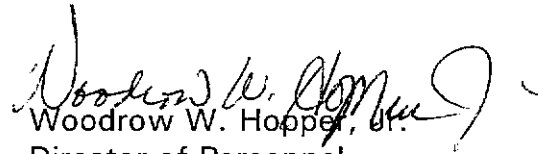
C. PERFORMANCE REVIEW BOARDS

- 1 There will be one Departmental Performance Review Board (PRB) to review performance appraisals of all eligible SES members.
- 2 The PRB will make recommendations regarding final performance ratings, performance awards, and performance based pay level increases.
- 3 PRB members will be provided annual training and written guidance by the Department to ensure consistency of review and recommendations.

D. PERFORMANCE RECOGNITION

- 1 Assistant Secretaries/equivalent officials will make recommendations for performance recognition (bonuses or pay level increases) to the ERB for final determination. Recommendations should be made on a single-page form which contains a general write-up of the member's achievements rather than a justification addressing each individual performance element.

The attached forms for Performance Appraisal and Performance Recognition will be used.

  
Woodrow W. Hopper, Jr.  
Director of Personnel

Attachments

INQUIRIES: Terry C. Steele, Division of Staffing, Classification, and Executive  
Resources Management, Room 5227, Mail Stop 5203 MIB,  
Telephone (202) 208-4231, Telefax (202) 219-2184



**U.S. DEPARTMENT OF THE INTERIOR  
SENIOR EXECUTIVE SERVICE PERFORMANCE AGREEMENT**

Employee's Name: \_\_\_\_\_  
Position: \_\_\_\_\_  
Duty Location: \_\_\_\_\_

Rating Period: \_\_\_\_\_  
Bureau/Office: \_\_\_\_\_  
ES Level: \_\_\_\_\_

**PART I. PERFORMANCE AGREEMENT:** *If the Performance Agreement contains more than five elements, continue this Part on an attachment.*

Performance Element 1: \_\_\_\_\_  
Fully Successful Standard: \_\_\_\_\_

Performance Element 2: \_\_\_\_\_  
Fully Successful Standard: \_\_\_\_\_

Performance Element 3: \_\_\_\_\_  
Fully Successful Standard: \_\_\_\_\_

Performance Element 4: \_\_\_\_\_  
Fully Successful Standard: \_\_\_\_\_

Performance Element 5: \_\_\_\_\_  
Fully Successful Standard: \_\_\_\_\_

**Certification:** *Employee's signature certifies review and discussion of performance agreement with Rating Official. It does not mean that the employee concurs with the Performance Elements or Standards.*

\_\_\_\_\_  
Employee's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Rating Official's Signature

\_\_\_\_\_  
Date

**PART II. PROGRESS REVIEW COMMENTS:** *Space is provided to summarize comments for two progress reviews. Date of review and initials of employee and rating official must also be provided for each review. If more than two reviews are conducted, provide additional comments as an attachment.*

Date: \_\_\_\_\_  
Emp. Initials: \_\_\_\_\_  
R.O. Initials: \_\_\_\_\_

-----  
Date: \_\_\_\_\_  
Emp. Initials: \_\_\_\_\_  
R.O. Initials: \_\_\_\_\_

**PART III. RATING OFFICIAL'S RECOMMENDATION:** *A narrative is required only for ratings of "provisional" or "Fail."*  
*On attachment, briefly compare the employee's achievements against performance standards.*

Number	Performance Element Title	Write: Pass, Provisional, or Fail for each Element

TYPE OF RATING (Circle one): 1. Rating of Record 2. Interim Rating

RECOMMENDED SUMMARY RATING: (Write: Pass, Provisional or Fail on this line) \_\_\_\_\_

RECOMMENDED AWARD: Bonus Amount: \$\_\_\_\_\_ Pay Rate Increase: from ES-\_\_\_\_\_ to ES-\_\_\_\_\_

\_\_\_\_\_  
Rating Official's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Reviewing Official's Signature (Optional)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Employee's Signature

\_\_\_\_\_  
Date

**PART IV. PERFORMANCE REVIEW BOARD ACTION:**

RECOMMENDED SUMMARY RATING: (Write: Pass, Provisional or Fail on this line) \_\_\_\_\_

RECOMMENDED AWARD: Bonus Amount: \$\_\_\_\_\_ Pay Rate Increase: from ES-\_\_\_\_\_ to ES-\_\_\_\_\_

\_\_\_\_\_  
Chair, Performance Review Board

\_\_\_\_\_  
Date

**PART V. ACTION OF ASSISTANT SECRETARY OR EQUIVALENT OFFICIAL:**

FINAL SUMMARY RATING: (Write: Pass, Provisional or Fail on this line) \_\_\_\_\_

RECOMMENDED AWARD: Bonus Amount: \$\_\_\_\_\_ Pay Rate Increase: from ES-\_\_\_\_\_ to ES-\_\_\_\_\_

\_\_\_\_\_  
Assistant Secretary/Equivalent Official

\_\_\_\_\_  
Date

**PART VI. EXECUTIVE RESOURCES BOARD DECISION:**

FINAL AWARD DECISION:

Bonus Amount: \$\_\_\_\_\_ Pay Rate Increase: from ES-\_\_\_\_\_ to ES-\_\_\_\_\_

\_\_\_\_\_  
Chair, Executive Resources Board

\_\_\_\_\_  
Date